



U.S. Environmental Protection Agency
Washington, DC 20460

Performance Plan and Appraisal for Senior Executives

Employee Name (Last, First, MI)

Armendariz, Alfredo, J.

Performance Period

From: 11/30/2009

To: 9/30/2010

Title, Pay Plan, Band, Series

Regional Administrator, ES-0340

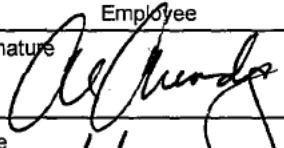
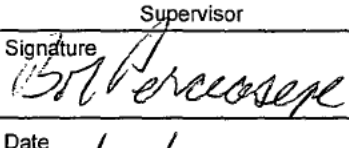
Organization (AA/RA, Ofc, Div, Br)

EPA Region 6, Dallas, TX

Section A.

Performance Plan Approval and Midyear Review

Please sign and date the appropriate block below to certify completion of the events.

Discussion and/or approval of the Performance Plan.	Employee	Supervisor	Approving Official
	Signature 	Signature 	Signature
	Date 2/1/2010	Date 5/11/2010	Date

Midyear progress review and career development discussion.

Yes / No

<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

Was previous IDP completed? (Participated in 40 hours of development activities)

Has new IDP been established?

Enter Date Established:

Comments Attached

Signature - Employee

Date

Signature - Supervisor

Date

Section B.

Overall Performance Appraisal and Approval

Summary Performance Rating:

(b) (6)

Unsatisfactory - One or more CEs are rated *Unsatisfactory*

Needs Improvement - One or more CEs are rated *Needs Improvement*, none are *Unsatisfactory*

Effective - Majority of CEs are rated *Effective*, Results Driven no lower than *Effective*, none lower than *Effective*

Commendable - One-half or more CEs are rated *Commendable*, Results Driven no lower than *Commendable*, none lower than *Effective*

Outstanding - One-half or more CEs (including Results Driven) are rated *Outstanding*, none lower than *Commendable*

Type of Summary Rating:

☒ End of Annual Cycle ☐ Employee Reassigned ☐ Employee Leaving Agency ☐ Other - Specify:

I. **Supervisor:** I have appraised this employee's performance and prepared a recommended rating.

Name and title (type or print):

Signature

Date

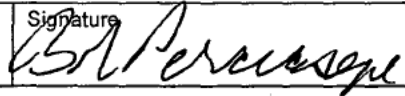
II. **Reviewing Official:** The recommended rating reflects my assessment of the employee's performance.

Name and title (type or print):

Bob Perciasepe
Deputy Administrator

Signature

Date

 11/2/10

III. **Approving Official*:** I approve the rating of record and related personnel decisions for this employee.

*The Administrator, or Inspector General for executives in the Office of Inspector General

Name (type or print):

Lisa P. JACKSON, The Administrator

Signature



Date

DEC 13 2010

IV. **Employee:** My supervisor and I have discussed my performance for this period in relation to my performance requirements (measures and standards) and my supervisor has informed me of my rating of record.

Signature

Date

Higher Level Review Requested?

☐ Yes ☒ No

Comments Attached?

☐ Yes ☒ No

Privacy Act Statement: Disclosure of your Social Security Number on this form is voluntary. The number is linked with your name in the official personnel records system to ensure unique identification of your records. The Social Security Number will be used solely to ensure accurate entry of your performance rating into the automated record system.

Social Security Number

Performance Elements/Requirements

Employee Name (Last, First, MI)	Performance Period		
Armendariz, Alfredo, J.	From:	11/30/2009	To: 9/30/2010

Link to the Strategic Plan: Link each critical element (CE) to EPA's *Strategic Plan* (or *Regional Plan*)

<http://www.epa.gov/ocfo/plan/2003sp.pdf> (or <http://www.epa.gov/ocfopage/regionplans/regionalplans2.htm>). The Plan contains five long-term, results-based environmental Goals and seven Cross-Goal Strategies. If a CE links to a Goal, then use its relevant objective(s) or sub-objective(s) to better define the linkage (e.g., *Goal 2. Clean and Safe Water, Objectives. 2.1 - 2.2.*) CEs of senior executives who perform cross-EPA and/or cross-media work (including legal support or administrative, financial or information management), may more appropriately link to a Strategy rather than to a Goal (e.g., *Strategy 4. Human Capital*). If neither Goals nor Strategies capture management and support duties, then insert the following statement: *This work is an enabling and support function that supports the outcomes of all of the Agency's strategic goals and cross-goal strategies.*

Element Rating: The supervisor indicates the level of performance for each CE by marking *Unsatisfactory* (U, the lowest performance level), *Needs Improvement* (NI), *Effective* (E, the level at which performance requirements are described), *Commendable* (C), or *Outstanding* (O, highest level of performance). In determining the rating for each CE, the supervisor will assess the specific outcomes/results achieved in Parts I and II, and at least 60 percent of the rating must be based on outcomes/results achieved in Part II.

CE 1. Results Driven: Achieves organizational and individual goals and objectives consistent with the EPA Strategic Plan and/or office operating plan.

Element Rating:

Strategic Plan: This work is an enabling and support function that supports the outcomes of all of the Agency's strategic goals and cross-goal strategies.

Part 1 Requirements (described at the *Effective* performance level)

Part 2 (required - - see Section C-2)

Sets long-term and short-term program objectives that: stress achievement of mission results, are realistic and measurable, and respond to the Presidential Management Agenda (PMA), Agency Strategic and Annual Performance Plans and/or other key Government-wide or EPA objectives. Effectively structures, organizes and prioritizes work to accomplish the objectives set forth in the Annual Performance Plan and/or appropriate business/work plans, including management initiatives. Monitors progress toward achieving goals and organizational objectives using effective measures, processes and procedures. Considers customer perspectives and feedback, as appropriate, in adjusting priorities. Takes action to modify operating plans when organizational results and measures indicate corrective action is needed. Informs higher-level management of significant program initiatives, developments, and status. Holds self and others accountable for measurable, high-quality, timely and cost-effective results. Positions the organization for future success by identifying new opportunities; builds the organization by developing or improving products or services. Takes calculated risks to accomplish organizational objectives. Understands and appropriately applies principles, procedures, requirements, regulations, and policies related to specialized expertise.

CE 2. Business Acumen: Acquires, organizes, manages and leverages available human, financial, material and information resources to efficiently produce high-quality results which accomplish strategic goals and organizational objectives.

Element Rating:

Strategic Plan: This work is an enabling and support function that supports the outcomes of all of the Agency's strategic goals and cross-goal strategies. Particular support to Cross-Goal Strategy 1. Results and Accountability, and Strategy 2. Innovation and Collaboration

Part 1 Requirements (described at the *Effective* performance level)

Part 2 (required - - see Section C-2)

Assesses current and future resource needs, including developing and implementing strategies for workforce planning, based on organizational goals and budget realities. As applicable, prepares and implements budget requests which are timely, well-defined, and include appropriate justifications that consider fiscal constraints, program priorities, and human capital (HC) objectives (skill/competency needs, employee development). Employs a recruitment strategy that attracts candidates with the required skills, talent, diversity, and commitment to EPA's mission. Properly executes the operating plan and effectively manages funds. Produces timely and accurate financial information to support operating, budget and policy decisions. Successfully achieves cost management and other resource management objectives as reflected by reports from the organization's financial and other management systems. Accurately assesses the nature of work being performed by the organization (Inherently Governmental versus commercial). Identifies functions for inclusion in the EPA Competitive Sourcing Plan that will lead to measurable increased efficiency and reduced costs for the organization. Effectively uses procurement and contractual processes to provide the products and services needed to meet organizational goals and objectives. As applicable, effectively promotes and supports meeting the Agency's small business/socioeconomic procurement program goals and commitments, including implementing the strategy for contracting with Service-Disabled Veteran-Owned Businesses (SDVB). Effectively manages assistance agreements to promote accountability and environmental results, including ensuring compliance with EPA grants management policies and supporting initiatives to meet the goals and objectives of EPA's long-term Grants Management Plan. Effectively manages Interagency Agreements in accordance with established policies and procedures. Identifies and builds business case for opportunities to utilize or better utilize e-Government technology to produce and deliver goods and services, collect and use information, or communicate, consult, collaborate, or partner with stakeholders, in order to improve organizational/program effectiveness and efficiency. Ensures access to and the security of technology systems. Establishes and maintains effective and efficient management controls in administrative and program areas, and as appropriate, conducts reviews to identify material and other weaknesses. Corrects weaknesses in a timely manner. On a regular basis, reviews and analyzes performance measures, consults and collaborates across EPA and with stakeholders and customers, as appropriate, and takes decisive action, in accordance with law, regulation and Agency policy to improve business processes. Takes action to address employee performance problems. As applicable, promotes integrity in the Labor Relations process and works towards fostering an atmosphere of respect and professionalism. Depending on the Agency's assessment of appropriateness and the parties' willingness, uses collaborative or compliance approaches to help address conflicts and solve problems. Assesses and recognizes own strengths and weaknesses; pursues self-development.

Performance Elements/Requirements

Employee Name (Last, First, MI)

Performance Period

Armendariz, Alfredo, J.

From:

11/30/2009

To:

9/30/2010

CE 3. Leading Change: Effectively initiates & manages organizational change.

Element Rating:

Strategic Plan:

This work is an enabling and support function that supports the outcomes of all of the Agency's strategic goals and cross-goal strategies. Particular support to Goal 4. Healthy Communities and Ecosystems, Objective 4.2 Sustain, Clean Up, and Restore Communities and the Ecological Systems that Support Them, and Objective 4.3 Protect, Sustain, and Restore the Health of Critical Natural Habitats and Ecosystems.

Part 1 Requirements (described at the *Effective* performance level)**Part 2** (required -- see Section C-2)

Implements organization vision that aligns key national and program goals and priorities with Agency and Office Strategic Plans and EPA and Government-wide initiatives, including the PMA; accounts for stakeholders' needs; identifies current and projected skill gaps, and structural and organizational inefficiencies; develops and articulates short- and long-term strategies for addressing skill gaps and inefficiencies; establishes time frames and bench-marks for improved organizational performance and measures organization's performance against those bench-marks; and makes the organization as citizen/customer focused as possible. Designs and deploys effective strategies that balance stakeholder interests with the business of the organization and that balance change and continuity. Strategies are creative, flexible, and innovative and show initiative. Acts as a catalyst for organizational change. Influences others to translate vision into action. Identifies and analyzes underlying dynamics and interests creating problems and conflicts; includes affected internal and external parties in problem-solving and conflict resolution; develops creative insights and innovations, and considers them along with conventional approaches, generates and evaluates with parties alternative solutions that achieve mutually acceptable goals; builds consensus through focus on underlying interests and mutual gain of parties, demonstrates how collaborative problem solving was considered and used to support environmental and organizational decision-making; Understands and keeps up-to-date on local, national, and international policies and trends that affect the organization and shape stakeholders' views; is aware of the organization's impact on the external environment. Successfully adapts plans, processes and programs in response to new information and changing conditions or initiatives, including new Government-wide or EPA initiatives or objectives. Using good judgment, constructively utilizes indicators such as customer feedback and organizational results measures, as appropriate, to effectuate improvements in program performance. Employee feedback indicates a clear understanding of the organizational vision. Deals effectively with pressure; remains optimistic and persistent, even under adversity. Recovers quickly from setbacks. Shows a commitment to serve the public. Ensures that actions meet public needs; aligns organizational objectives and practices with public interests.

CE 4. Building Coalitions and Communication: Builds alliances and effectively communicates to advance EPA's and organization's mission and objectives.

Element Rating:

Strategic Plan:

This work is an enabling and support function that supports the outcomes of all of the Agency's strategic goals and cross-goal strategies. Particular support to Cross-Goal Strategy 1. Results and Accountability, and Strategy 2. Innovation and Collaboration

Part 1 Requirements (described at the *Effective* performance level)**Part 2** (required -- see Section C-2)

Articulates program goals and objectives; promotes and supports EPA initiatives and objectives internally and externally in a clear and convincing manner, particularly when representing or speaking for the organization or EPA. Effectively identifies and manages internal and external influences and dynamics that impact the organization's work. As appropriate, cultivates alliances, strengthens support internally and externally, and facilitates open exchange of opinion from diverse groups (e.g., Federal agencies; Congress; customers and stakeholders; the public; the media; state, local, and tribal governments; non-governmental organizations; minority groups; and the international community). Routinely considers and effectively employs collaborative approaches wherever appropriate, to build strategic relationships and achieve common goals. Effectively communicates with and listens to customers and stakeholders, gathering feedback as appropriate. Shows evidence of giving feedback due consideration, especially in the area of organizational performance. Seeks to build trust in all interactions. Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals. Makes clear and convincing oral presentations. Listens effectively; clarifies information as needed. Writes in a clear, concise, organized, and convincing manner for the intended audience.

CE 5. Leading People: Effectively leads & manages employees to enhance their performance, development & satisfaction in accomplishing EPA/organization's goals & objectives.

Element Rating:

Strategic Plan:

This work is an enabling and support function that supports the outcomes of all of the Agency's strategic goals and cross-goal strategies. Particular support to Cross-Goal Strategy 1. Results and Accountability, and Strategy 2. Innovation and Collaboration

Performance Elements/Requirements

Employee Name (Last, First, MI)	Performance Period		
Armendariz, Alfredo, J.	From:	11/30/2009	To: 9/30/2010

CE 6. Equal Employment Opportunity (EEO): Demonstrates commitment to & support of EPA diversity/EEO policies/programs; takes positive action to enhance workforce diversity.

Element Rating:

Strategic Plan: **This work is an enabling and support function that supports the outcomes of all of the Agency's strategic goals and cross-goal strategies. Particular support to Cross-Goal Strategy 1. Results and Accountability, and Strategy 2. Innovation and Collaboration**

Part 1 Requirements (described at the *Effective* performance level)

Part 2 (required - - see Section C-2)

Provides positive leadership and promotes effective solutions to EEO issues, including initiatives identified in the organization's Diversity Action Plan, Affirmative Employment Plan and Disabilities Employment Plan. Ensures management practices and principles lead to establishment of an organization that values EEO. Applies Merit System principles, assigning work and making employment decisions in areas such as hiring, promotion, training and developmental assignments and awards, without regard to sex, race, color, national origin, religion, age, disability, sexual orientation or prior participation in EEO complaint resolution process. Promptly responds to allegations of discrimination and/or harassment and initiates appropriate action to address such situations. Employee feedback reflects an environment which fosters and promotes respectful, cooperative, and productive working relationships among culturally diverse people.

Part 1 Requirements (described at the *Effective* performance level)

communicates EPA's mission, core values and strategic goals to employees and engages them in development of objectives contributing to those goals. Takes into account employee perspectives and encourages them to develop creative and effective ways to successfully accomplish the Agency's mission. Applies and effectively fosters formal and informal performance management practices to align organizational and employee performance plans and to promote workforce quality and results achievement. Motivates employees to achieve high performance by facilitating a workplace that fosters diversity, innovation, initiative, and open and honest communication. Inspires and fosters team commitment, spirit, pride and trust. Facilitates cooperation and motivates team members to accomplish group goals. Encourages constructive criticism and differences of opinion; anticipates and takes steps to prevent counter-productive escalation of conflicts. Ensures that employees have the tools and training to do their jobs. Coaches and develops employees so that they realize their full potential. Provides constructive feedback to employees concerning individual and group performance including timely appraisals which result in meaningful distinctions in ratings based on actual job performance. Deals effectively with employee relations matters, including resolving instances where employees are underutilized and/or underperforming. Employee feedback reflects an understanding of supervisory and management direction, constructive feedback, developmental opportunities, and recognition received. Behaves in an honest, fair and ethical manner. Shows consistency in words and actions. Models high standards of excellence. Treats others with courtesy, sensitivity and respect. Considers and responds appropriately to the needs and feelings of different people in different situations. Fosters an inclusive workplace where diversity and individual differences are valued and leveraged to achieve the vision and the mission of the office.

Part 2 (*required* - - see Section C-2) Effectively

Section C-2 (Please Type Information)

Performance Elements/Requirements

Employee Name (Last, First, MI)

Armendariz, Alfredo, J.

Performance Period

From: 11/30/2009 To: 9/30/2010

Describe below a limited number of critical actions, objectives and/or results that you expect to accomplish during the upcoming evaluation year. For each individual commitment identify: (1) CE #, (2) linkage (e.g., should be derived from, and directly contribute to, Agency strategic planning priorities, as appropriate, and/or other relevant annual performance (GPRA), local human capital (HC) action, EEO, EPA Competitive Sourcing, Individual Competition, SDVB, Post Award Management, business and/or operating plans) and (3) specific expected outcomes and time frames. You should establish commitments at the beginning of the evaluation period and track progress and accomplishments throughout the period. In consultation with your supervisor, you may modify organizational objectives and individual commitments during the evaluation period (but no later than 90 days before the period's end) if circumstances warrant. Attach additional pages as needed. **Individual commitments are required for all CEs.**

Part 2 Individual Commitments (described at the *Effective* performance level)

CE#	Linkage (e.g., Goal/Objective, Annual (GPRA) Plan, HC Plan, SDVB Plan,)	Objective (WHAT -- e.g., specific accomplishment, product, outcome, deliverable)	Performance Requirement (HOW, WHEN, WHY, WITH WHOM -- e.g., quality, quantity, timeliness, target date/milestone, cost)
1. Results Driven	Supports all goals and cross-cutting strategies	<ol style="list-style-type: none"> 1. Lead the region to continue achieving strong and quantifiable environmental results (Feb. - Sept.) 2. Improve the environment and reduce exposures the most in heavily impacted communities, through targeting permitting, enforcement, cleanup, partnership, and outreach efforts (Feb. - Sept.) 3. Begin the implementation of the new air permitting program for major sources in Texas (June). 4. Contribute to the successful rollout of the national nutrient strategy, including the listing of coastal Louisiana waters as impacted by nutrients. (Feb. - Aug.) 	
2. Business Acumen	Supports all goals and cross-cutting strategies, particular support to Cross-Goal Strategy 1. Results and Accountability, and Strategy 2. Innovation and Collaboration	<ol style="list-style-type: none"> 1. Monitor ARRA and unliquidated funds draw downs, and work with governors and state agencies to find most effective tools to spend funds (Feb. - Sept.) 2. Manage the current fiscal tightness in R6, evaluate potential for operating budget savings, and assure that high priority projects receive greatest financial attention (Feb. - Sept.) 3. Strategically manage any new hires, so that skill sets essential to Administrator's priorities and critical regional needs are added to staff (Feb. - Sept.) 4. Maintain and enhance R6 boots-on-the-ground enforcement efforts, at a time of fiscal problems by state agencies (Feb. - Sept.) 	
3. Leading Change	Supports all goals and cross-cutting strategies, particular support to Objective 4.2 Sustain, Clean Up, and Restore Communities and the Ecological Systems, and Objective 4.3 Protect, Sustain, and Restore the Health of Critical Natural Habitats and Ecosystems.	<ol style="list-style-type: none"> 1. Get Administrator's priorities incorporated into and identified within R6 300-day plan, as well as into a new R6 multi-year strategic plan (Feb. - March). 2. Develop metrics to evaluate progress on R6 focus on EJ communities (Feb. - Aug.) 3. Lead efforts to address wetlands loss mitigation and restoration in coastal Louisiana, including meetings with state and federal agency stakeholders. Evaluate progress to date. Determine need for new or innovative programs to accelerate progress. (Feb. - Sept.) 4. Advance and include in all speeches, presentations, and public appearances, the priorities of Administrator Jackson. (Feb. - Sept.) 5. Include connections of climate change to all aspects of regional work (esp. air quality, water supply, wetlands loss, emergency response, green jobs) in RA and staff speeches and public presentations. (Feb. - Sept.) 	
4. Building Coalitions and Communication	Supports all goals and cross-cutting strategies, particular support to Cross-Goal Strategy 1. Results and Accountability, and Strategy 2. Innovation and Collaboration	<ol style="list-style-type: none"> 1. Hold regular discussions with each state director on top priorities, ensure that joint work is on track, and resolve obstacles to progress. (Feb. - Sept.) 2. Identify and attend monthly forums and meetings along the Texas Gulf to communicate to industry the ongoing work to restructure the Texas air permitting programs. (Feb. - Sept.) 2. Convene a regional stakeholders meeting to discuss EPA communication and information sharing methods, and solicit feedback on needed improvements, to circulate to R6 and OEI staff (July). 3. Visit and understand environmental impacts, community concerns, and progress-to-date on mining related activities and impacted sites in Indian Country and in rural parts of R6. (April). 4. Develop a mechanism to maintain a comprehensive list of stakeholders and interested community members in each of our EJ, superfund, nonattainment, impacted waters, and border outreach communities. (July) 	

5. Leading People	Supports all goals and cross-cutting strategies, particular support to Cross-Goal Strategy 1. Results and Accountability, and Strategy 2. Innovation and Collaboration	1. Hold myself and regional management to highest level of integrity and ethical conduct. (Feb. - Sept.) 2. Indicate RA support for regional "We Care" values program in memorandum to staff (Feb.) 3. Complete divisional and programmatic briefings, along with detailed briefings on major initiatives, to fully understand region's work. (March). 4. Request and then review reports from each division on how upcoming 2010 activities fit into Administrator's priorities. (April)
6. Equal Employment Opportunity	Supports all goals and cross-cutting strategies, particular support to Cross-Goal Strategy 1. Results and Accountability, and Strategy 2. Innovation and Collaboration	1. Ensure that military veterans are actively recruited for open positions by distributing EPA employment materials at all our frequent meetings with regional military installations, and encouraging and tracking innovative means of veterans outreach. (Feb. - Sept.) 2. Continue regional efforts to recruit a diverse workforce, including memorandum to managers and HR department on high importance of diversity (Feb. - Sept.) 3. Work with the ELT to assess and regularly communicate demographic data on promotions, hiring, awards, continuing education, and leadership training and travel opportunities. (Feb. - Sept.)
List known factors over which you have little, if any, control, but which might exert significant impact on your performance or ability to achieve an objective. In assessing performance, the supervisor will consider factors, which might legitimately and significantly influence your ability to perform, whether or not they are documented below.		
<div style="text-align: center;">Assumptions</div>		

Section D-1

Performance Assessment Narrative

This performance narrative may serve, if applicable, as documentation for a monetary award nomination and/or base pay adjustment recommendation. To use as such, AA/RA (equivalent) office completes the four numbered boxes below.

1. Summary Rating:

2. Pay Adj (%):

3. Bonus (%):

Employee Name (Last, First, MI)

Armendariz, AI

Performance Period

From: Nov. 30, 2009

To: Sept. 30, 2010

Title, Pay Plan, Band, Series

Regional Administrator, ES- 0340

Organization (AA/RA, Ofc, Div, Br)

EPA Region 6, Dallas, Texas

Describe your overall performance: Clearly and succinctly describe your accomplishments for the rating period in all areas except those related to EEO and Business Acumen efforts which each require separate documentation. Discuss each specific area of performance or accomplishment only once, even if it relates to more than one CE. Focus on results achieved in terms of the key performance objectives and leadership attributes. (Use only the space provided below, Font: Arial-10.)

Results Driven:

(b) (6)

Leading Change:

(b) (6)

Building Coalitions and Communication:

(b) (6)

Leading People:

(b) (6)

Section D-2

Business Acumen Narrative

This narrative may serve, if applicable, as documentation for a monetary award nomination and/or base pay adjustment recommendation. To use as such, AA/RA (equivalent) office completes the four numbered boxes below.

1. Summary Rating:

2. Pay Adj (%):

3. Bonus (%):

Employee Name (Last, First, MI)

Armendariz, AI

Performance Period

From: November 30, 2009 To: September 30, 2010

Title, Pay Plan, Band, Series

Regional Administrator, ES- 0340

Organization (AA/RA, Ofc, Div, Br)

EPA Region 6, Dallas, Texas

Describe your accomplishments for CE 2, Business Acumen: Clearly and succinctly describe your accomplishments for the rating period in management priority areas, e.g., human capital, competitive sourcing, contracts/procurement, assistance agreements/IAGs, financial management, e-Government, as applicable. Focus on results achieved in terms of key performance objectives and leadership attributes. (Use only the space provided below, Font: Arial-10.)

Human Capital

(b) (6)

Recovery Act:

(b) (6)

Managing Resources:

(b) (6)

E-government:

(b) (6)

Section D-3

Equal Employment Opportunity and Diversity Narrative

This EEO narrative may serve, if applicable, as documentation for a monetary award nomination and/or base pay adjustment recommendation. To use as such, AA/RA (equivalent) office completes the four numbered boxes below.

1. Summary Rating:		2. Pay Adj (%):		3. Bonus (%):			
Employee Name (Last, First, MI)				Performance Period			
Armendariz, AI				From:	Nov. 30, 2009	To:	Sept. 30, 2010
Title, Pay Plan, Band, Series				Organization (AA/RA, Ofc, Div, Br)			
Regional Administrator, ES-0340				U. S. EPA Region 6, Dallas, Texas			

Describe your *accomplishments* for CE 6, Equal Employment Opportunity (EEO), for the rating period by answering these two questions: 1. How have you personally facilitated, empowered, and/or directed efforts that have contributed to the implementation of your organization's EEO/affirmative employment and diversity programs? 2. What successes convince you that you have made a difference in these areas? Areas you should address include: outreach and recruitment; employee development and retention (e.g., training, coaching, mentoring); quality of work life initiatives (e.g., telecommuting, AWS, childcare); active participation in SEP initiatives; good faith participation in the ADR process; and full attention to early resolution of complaints of discrimination, as applicable. (Use only the space provided below to answer both questions, Font: Arial-10.)

Outreach and Recruitment:

(b) (6)

Support of Diversity Programs:

(b) (6)

Development and Retention:

(b) (6)



U.S. Environmental Protection Agency
Washington, DC 20460

Performance Plan and Appraisal for Senior Executives

Employee Name (Last, First, MI) Armendariz, Alfredo, J.	Performance Period From: 10/1/2010 To: 9/30/2011
Title, Pay Plan, Band, Series Regional Administrator, ES-0340	Organization (AA/RA, Ofc, Div, Br) EPA Region 6, Dallas, Texas

Section A. Performance Plan Approval and Midyear Review

Please sign and date the appropriate block below to certify completion of the events. The signatures below certify that the supervisor has developed the performance agreement in consultation with the executive, discussed the agreement with the executive, and provided examples of behavior that would/would not meet the performance standards. The discussion occurs at the beginning of the performance rating period. The executive is given a copy of the agreement, and the original is placed in the executive's file.

Consultation/discussion and approval of the Performance Plan	Employee Signature <i>[Signature]</i> Date 1/14/2011	Supervisor Signature <i>[Signature]</i> Date 6/2/11	Approving Official Signature Date
	Midyear Progress Review and Career Development Discussion Yes / No <input type="checkbox"/> Was previous EDP completed? (Participated in 40 hours of development activities) <input type="checkbox"/> Has new EDP been established? Enter Date Established: <input type="checkbox"/> Comments Attached?		

Signature - Employee (SEE ATTACHED)	Date 	Signature - Supervisor <i>[Signature]</i>	Date 6/2/11
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Section B. Overall Performance Appraisal and Approval

Summary Performance Rating:

(b) (6)

Unsatisfactory - One or more CEs are rated *Unsatisfactory*

Needs Improvement - One or more CEs are rated *Needs Improvement*, none are *Unsatisfactory*

Effective - Majority of CEs are rated *Effective*, Results Driven no lower than *Effective*, none lower than *Effective*

Commendable - One-half or more CEs are rated *Commendable*, Results Driven no lower than *Commendable*, none lower than *Effective*

Outstanding - One-half or more CEs (including Results Driven) are rated *Outstanding*, none lower than *Commendable*

Type of Summary Rating:

☒ End of Annual Cycle ☐ Employee Reassigned ☐ Employee Leaving Agency ☐ Other - Specify:

I. Supervisor: I have appraised this employee's performance and prepared a recommended rating.

Name and title (type or print): Bob Perciasepe, Deputy Administrator	Signature <i>[Signature]</i>	Date 11/22
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II. Reviewing Official: The recommended rating reflects my assessment of the employee's performance.

Name and title (type or print):	Signature	Date
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III. Approving Official*: I approve the rating of record and related personnel decisions for this employee.

*The Administrator, or Inspector General for executives in the Office of Inspector General

Name (type or print): Lisa P. Jackson, Administrator	Signature <i>[Signature]</i>	Date 11/22/11
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IV. Employee: My supervisor and I have discussed my performance for this period in relation to my performance requirements (measures and standards) and my supervisor has informed me of my rating of record.

Signature <i>[Signature]</i>	Date 2/15/12	Higher Level Review Requested? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Comments Attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
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U.S. Environmental Protection Agency
Washington, DC 20460

Performance Plan and Appraisal for Senior Executives

Employee Name (Last, First, MI)

Armendariz, Alfredo, J.

Performance Period

From: 10/1/2010

To: 9/30/2011

Title, Pay Plan, Band, Series

Regional Administrator, ES-0340

Organization (AA/RA, Ofc, Div, Br)

EPA Region 6, Dallas, Texas

Section A.

Performance Plan Approval and Midyear Review

Please sign and date the appropriate block below to certify completion of the events. The signatures below certify that the supervisor has developed the performance agreement in consultation with the executive, discussed the agreement with the executive, and provided examples of behavior that would/would not meet the performance standards. The discussion occurs at the beginning of the performance rating period. The executive is given a copy of the agreement, and the original is placed in the executive's file.

	Employee	Supervisor	Approving Official
Consultation/discussion and approval of the Performance Plan	Signature 	Signature 	Signature
	Date 1/14/2011	Date 6/2/11	Date
Midyear Progress Review and Career Development Discussion	Yes / No		
	<input type="checkbox"/> Was previous EDP completed? (Participated in 40 hours of development activities) <input type="checkbox"/> Has new EDP been established? Enter Date Established: <input type="checkbox"/> Comments Attached?		
Signature - Employee	Date	Signature - Supervisor	Date
(SEE ATTACHED)			6/2/11

Section B.

Overall Performance Appraisal and Approval

Summary Performance Rating:

(b) (6)

Unsatisfactory - One or more CEs are rated *Unsatisfactory*

Needs Improvement - One or more CEs are rated *Needs Improvement*, none are *Unsatisfactory*

Effective - Majority of CEs are rated *Effective*, Results Driven no lower than *Effective*, none lower than *Effective*

Commendable - One-half or more CEs are rated *Commendable*, Results Driven no lower than *Commendable*, none lower than *Effective*

Outstanding - One-half or more CEs (including Results Driven) are rated *Outstanding*, none lower than *Commendable*

Type of Summary Rating:

☒ End of Annual Cycle ☐ Employee Reassigned ☐ Employee Leaving Agency ☐ Other - Specify:

I. **Supervisor:** I have appraised this employee's performance and prepared a recommended rating.

Name and title (type or print):

Bob Perciasepe, Deputy Administrator

Signature

Date

11/22

II. **Reviewing Official:** The recommended rating reflects my assessment of the employee's performance.

Name and title (type or print):

Signature

Date

III. **Approving Official*:** I approve the rating of record and related personnel decisions for this employee.

*The Administrator, or Inspector General for executives in the Office of Inspector General

Name (type or print):

Lisa P. Jackson, Administrator

Signature

Date

11/22/11

IV. **Employee:** My supervisor and I have discussed my performance for this period in relation to my performance requirements (measures and standards) and my supervisor has informed me of my rating of record.

Signature

Date

Higher Level Review Requested?

☐ Yes ☒ No

Comments Attached?

☐ Yes ☒ No



U.S. Environmental Protection Agency
Washington, DC 20460

Performance Plan and Appraisal for Senior Executives

Employee Name (Last, First, MI)

Armendariz, Alfredo, J.

Performance Period

From: 10/1/2010

To: 9/30/2011

Title, Pay Plan, Band, Series

Regional Administrator, ES-0340

Organization (AAWA, Ofc, Div, Br)

EPA Region 6, Dallas, Texas

Section A.

Performance Plan Approval and Midyear Review

Please sign and date the appropriate block below to certify completion of the events. The signatures below certify that the supervisor has developed the performance agreement in consultation with the executive, discussed the agreement with the executive, and provided examples of behavior that would/would not meet the performance standards. The discussion occurs at the beginning of the performance rating period. The executive is given a copy of the agreement, and the original is placed in the executive's file.

	Employee	Supervisor	Approving Official
Consultation/discussion and approval of the Performance Plan	Signature <i>[Signature]</i>	Signature <i>[Signature]</i>	Signature
	Date 1/14/2011	Date 6/2/11	Date
Midyear Progress Review and Career Development Discussion	Yes / No <input type="checkbox"/> Was previous EDP completed? (Participated in 40 hours of development activities) <input type="checkbox"/> Has new EDP been established? Enter Date Established: <input type="checkbox"/> Comments Attached?		

Signature - Employee

Date

6/3/2011

Signature - Supervisor

Date

6/2/11

Section B.

Overall Performance Appraisal and Approval

Summary Performance Rating:

- ☐ Unsatisfactory - One or more CEs are rated *Unsatisfactory*
- ☐ Needs Improvement - One or more CEs are rated *Needs Improvement*, none are *Unsatisfactory*
- ☐ Effective - Majority of CEs are rated *Effective*, Results Driven no lower than *Effective*, none lower than *Effective*
- ☐ Commendable - One-half or more CEs are rated *Commendable*, Results Driven no lower than *Commendable*, none lower than *Effective*
- ☐ Outstanding - One-half or more CEs (including Results Driven) are rated *Outstanding*, none lower than *Commendable*

Type of Summary Rating:

- ☐ End of Annual Cycle ☐ Employee Resigned ☐ Employee Leaving Agency ☐ Other - Specify:

I. Supervisor: I have appraised this employee's performance and prepared a recommended rating.

Name and title (type or print):

Signature

Date

II. Reviewing Official: The recommended rating reflects my assessment of the employee's performance.

Name and title (type or print):

Signature

Date

III. Approving Official: I approve the rating of record and related personnel decisions for this employee.

The Administrator, or Inspector General for executives in the Office of Inspector General

Name (type or print):

Signature

Date

IV. Employee: My supervisor and I have discussed my performance for this period in relation to my performance requirements (measures and standards) and my supervisor has informed me of my rating of record.

Signature

Date

Higher Level Review Requested?

☐ Yes ☐ No

Comments Attached?

☐ Yes ☐ No

Performance Elements/Requirements

Employee Name (Last, First, MI)	Performance Period		
Armendariz, Alfredo, J.	From:	10/1/2010	To: 9/30/2011

Link to the Strategic Plan: Link each Critical Element (CE) to EPA's current Strategic Plan (or Regional Plan) <http://www.epa.gov/ocfo/plan/plan.htm>. The Plan contains five strategic, results-based environmental goals to guide the Agency's work and five cross-cutting fundamental strategies which set clear expectations for changing the way EPA does business in achieving its results. If a CE links to a goal, then use its relevant objective(s) or sub-objective(s) to better define the linkage (e.g., *Goal 2, Protecting America's Waters, Objective 2.1, Protect Human Health*). CEs of senior executives who perform cross-EPA and/or cross-media work (including legal support or administrative, financial or information management), may more appropriately link to a strategy rather than to a goal (e.g., *Strategy 2, Working for Environmental Justice and Children's Health*) or one of the associated annual action plans. If neither goals nor strategies capture management and support duties, then insert the following statement: *This work is an enabling and support function that supports the outcomes of all of the Agency's strategic goals and cross-cutting fundamental strategies.*

Element Rating: The supervisor indicates the level of performance for each CE by marking *Unsatisfactory* (U, the lowest performance level), *Needs Improvement* (NI), *Effective* (E, the level at which performance requirements are described), *Commendable* (C), or *Outstanding* (O, highest level of performance). In determining the rating for each CE, the supervisor will assess the specific outcomes/results achieved in Parts I and II, and at least 60 percent of the rating must be based on outcomes/results achieved in Part II.

CE 1. Results Driven: Achieves organizational and individual goals and objectives consistent with the EPA Strategic Plan and/or office operating plan.	Element Rating: (b) (6)
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Strategic Plan:	This critical element is linked to all 5 of the goals and all 5 of the cross-cutting fundamental strategies in the EPA FY 2011-2015 Strategic Plan.
-----------------	---

Part 1 Requirements (described at the *Effective* performance level)

Sets long-term and short-term program objectives that: stress achievement of mission results, are realistic and measurable, and respond to the Agency Strategic and Annual Performance Plans and/or other key Government-wide or EPA objectives. Effectively structures, organizes and prioritizes work to accomplish the objectives set forth in the Annual Performance Plan and/or appropriate business/work plans, including management initiatives. Monitors progress toward achieving goals and organizational objectives using effective measures, processes and procedures. Considers customer perspectives and feedback, as appropriate, in adjusting priorities. Takes action to modify operating plans when organizational results and measures indicate corrective action is needed. Informs higher-level management of significant program initiatives, developments, and status. Holds self and others accountable for measurable, high-quality, timely and cost-effective results. Positions the organization for future success by identifying new opportunities; builds the organization by developing or improving products or services. Takes calculated risks to accomplish organizational objectives. Understands and appropriately applies principles, procedures, requirements, regulations, and policies related to specialized expertise.

CE 2. Business Acumen: Acquires, organizes, manages and leverages available human, financial, material and information resources to efficiently produce high-quality results which accomplish strategic goals and organizational objectives.	Element Rating: (b) (6)
---	--------------------------------

Strategic Plan:	This critical element is linked to all 5 of the goals and all 5 of the cross-cutting fundamental strategies in the EPA FY 2011-2015 Strategic Plan.
-----------------	---

Part 1 Requirements (described at the *Effective* performance level)

Assesses current and future resource needs, including developing and implementing strategies for workforce and succession planning, based on organizational goals and budget realities. As applicable, prepares and implements budget requests which are timely, well-defined, and include appropriate justifications that consider fiscal constraints, program priorities, and human capital (HC) objectives (skill/competency needs, retention, employee development). Employs a recruitment strategy that attracts candidates with the required skills, talent, diversity, and commitment to EPA's mission. Properly executes the operating plan and effectively manages funds. Produces timely and accurate financial information to support operating, budget and policy decisions. Successfully achieves cost management and other resource management objectives as reflected by reports from the organization's financial and other management systems. Accurately assesses the nature of work being performed by the organization (Inherently Governmental, core, or critical). Effectively uses procurement and contractual processes to provide the products and services needed to meet organizational goals and objectives. As applicable, effectively promotes and supports meeting the Agency's small business/socioeconomic procurement program goals and commitments, including implementing a strategy for contracting with Service-Disabled Veteran-Owned Businesses (SDVB). Effectively manages assistance agreements to promote accountability and environmental results, including ensuring compliance with EPA grants management policies and supporting initiatives to meet the goals and objectives of EPA's long-term Grants Management Plan. Effectively manages Interagency Agreements in accordance with established policies and procedures. Identifies and builds business case for opportunities to utilize or better utilize e-Government technology to produce and deliver goods and services, collect and use information, or communicate, consult, collaborate, or partner with stakeholders, in order to improve organizational/program effectiveness and efficiency. Ensures access to and the security of technology systems. Establishes and maintains effective and efficient management controls in administrative and program areas, and as appropriate, conducts reviews to identify material and other weaknesses. Corrects weaknesses in a timely manner. On a regular basis, reviews and analyzes performance measures, consults and collaborates across EPA and with stakeholders and customers, as appropriate, and takes decisive action, in accordance with law, regulation and Agency policy to improve business processes. Takes action to address employee performance problems. As applicable, promotes integrity in the Labor Relations process and works towards fostering an atmosphere of respect and professionalism. Depending on the Agency's assessment of appropriateness and the parties' willingness, uses collaborative or compliance approaches to help address conflicts and solve problems. Assesses and recognizes own strengths and weaknesses; pursues self-development.

Section C-1 (Please Type Information)

page 3 of 3

Performance Elements/Requirements

Employee Name (Last, First, MI)

Armendariz, Alfredo, J.

Performance Period

From:

10/1/2010

To:

9/30/2011

CE 6. Equal Employment Opportunity (EEO): Demonstrates commitment to & support of EPA diversity/EEO policies/programs; takes positive action to enhance workforce diversity.**Element Rating:**

(b) (6)

Strategic Plan:

This critical element is linked to all 5 of the goals and all 5 of the cross-cutting fundamental strategies in the EPA FY 2011-2015 Strategic Plan, especially fundamental strategy #5: Strengthening EPA's Workforce and Capabilities.

Part 1 Requirements (described at the *Effective* performance level)**Part 2** (required - see Section C-2)

Provides positive leadership and promotes effective solutions to EEO issues, including initiatives identified in the organization's Diversity Action Plan, Affirmative Employment Plan and Disabilities Employment Plan. Ensures management practices and principles lead to establishment of an organization that values EEO. Applies Merit System principles, assigning work and making employment decisions in areas such as hiring, promotion, training and developmental assignments and awards, without regard to sex, race, color, national origin, religion, age, disability, sexual orientation or prior participation in EEO complaint resolution process. Promptly responds to allegations of discrimination and/or harassment and initiates appropriate action to address such situations. Employee feedback reflects an environment which fosters and promotes respectful, cooperative, and productive working relationships among culturally diverse people.

5. Leading People	linked to all 5 goals and all 5 cross-cutting fundamental strategies	<ol style="list-style-type: none"> 1. Hold myself and regional management to highest level of integrity and ethical conduct. (Oct. - Sept.) 2. Continue to support "We Care" values program, by including tag line in all-hands memos and in emails to staff (Oct. - Sept.) 3. Speak at the next classes of the leadership development program (LDP). (early 2011) 4. Build relationship with employee union by meeting with them multiple times per year. (quarterly beginning Jan 2011).
6. Equal Employment Opportunity	linked to all 5 goals and all 5 cross-cutting fundamental strategies	<ol style="list-style-type: none"> 1. Ensure that military veterans are actively recruited for any open positions with R6. Engage leadership team on innovative means of veterans outreach. (Oct. - Sept.) 2. Continue regional efforts to recruit a diverse workforce, including memorandum to managers and HR department on high importance of diversity (Jan 2011) 3. Work with the leadership team to assess and regularly communicate demographic data on promotions, hiring, awards, continuing education, and leadership training and travel opportunities. (Oct. - Sept.)

List known factors over which you have little, if any, control, but which might exert significant impact on your performance or ability to achieve an objective. In assessing performance, the supervisor will consider factors, which might legitimately and significantly influence your ability to perform, whether or not they are documented below.

Assumptions

Section D-1

Performance Assessment Narrative

This performance narrative may serve, if applicable, as documentation for a monetary award nomination and/or base pay adjustment recommendation. To use as such, AA/RA (equivalent) office completes the four numbered boxes below.

1. Summary Rating:		2. Pay Adj (%):		3. Bonus (%):	
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Employee Name (Last, First, MI)

Armendariz, AI

Performance Period

From: Oct. 1, 2010

To: Sept. 30, 2011

Title, Pay Plan, Band, Series

Regional Administrator ES-0340

Organization (AA/RA, Ofc, Div, Br)

EPA Region 6, Dallas, Texas

Describe your overall performance: Clearly and succinctly describe your accomplishments for the rating period in all areas except those related to EEO and Business Acumen efforts which each require separate documentation. Discuss each specific area of performance or accomplishment only once, even if it relates to more than one CE. Focus on results achieved in terms of the key performance objectives and leadership attributes. For consideration of a rating above *Effective*, Self-assessments should reflect how the employee went well above and beyond the performance objectives set for the rating period. Self assessments must provide thorough discussion of accomplishments and describe how the employee's accomplishments contributed towards the overall performance of the organization. (Use only the space provided below to answer both questions, Font: Arial-10.)

Results Driven:

(b) (6)

Leading Change:

(b) (6)

Building Coalitions and Communication:

(b) (6)

Leading People:

(b) (6)

Section D-2

Business Acumen Narrative

This narrative may serve, if applicable, as documentation for a monetary award nomination and/or base pay adjustment recommendation. To use as such, AA/RA (equivalent) office completes the four numbered boxes below.

1. Summary Rating:		2. Pay Adj (%):		3. Bonus (%):	
--------------------	--	-----------------	--	---------------	--

Employee Name (Last, First, MI) Armendariz, AI	Performance Period From: Oct. 1, 2010 To: Sept. 30, 2011
Title, Pay Plan, Band, Series Regional Administrator, ES-0340	Organization (AA/RA, Ofc, Div, Br) EPA Region 6, Dallas, Texas

Describe your accomplishments for CE 2, Business Acumen: Clearly and succinctly describe your accomplishments for the rating period in management priority areas, e.g., human capital, competitive sourcing, contracts/procurement, assistance agreements/IAGs, financial management, e-Government, as applicable. Focus on results achieved in terms of key performance objectives and leadership attributes. For consideration of a rating above *Effective*, Self-assessments should reflect how the employee went well above and beyond the performance objectives set for the rating period. Self assessments must provide thorough discussion of accomplishments and describe how the employee's accomplishments contributed towards the overall performance of the organization. (Use only the space provided below to answer both questions, Font: Arial-10.)

Human Capital -

(b) (6)

Managing Resources -

(b) (6)

e-Government -

(b) (6)

Project Management -

(b) (6)

Section D-3

Equal Employment Opportunity and Diversity Narrative

This EEO narrative may serve, if applicable, as documentation for a monetary award nomination and/or base pay adjustment recommendation. To use as such, AA/RA (equivalent) office completes the four numbered boxes below.

1. Summary Rating:.	2. Pay Adj (%):	3. Bonus (%):	
---------------------	-----------------	---------------	--

Employee Name (Last, First, MI) Armendariz, AI	Performance Period From: Oct. 1, 2010 To: Sept. 30, 2011
Title, Pay Plan, Band, Series Regional Administrator, ES-0340	Organization (AA/RA, Ofc, Div, Br) EPA Region 6, Dallas, Texas

Describe your *accomplishments* for CE 6, Equal Employment Opportunity (EEO), for the rating period by answering these two questions: 1. How have you personally facilitated, empowered, and/or directed efforts that have contributed to the implementation of your organization's EEO/affirmative employment and diversity programs? 2. What successes convince you that you have made a difference in these areas? Areas you should address include: outreach and recruitment; employee development and retention (e.g., training, coaching, mentoring); quality of work life initiatives (e.g., telecommuting, AWS, childcare); active participation in SEP initiatives; good faith participation in the ADR process; and full attention to early resolution of complaints of discrimination, as applicable. For consideration of a rating above *Effective*, Self-assessments should reflect how the employee went well above and beyond the performance objectives set for the rating period. Self assessments must provide thorough discussion of accomplishments and describe how the employee's accomplishments contributed towards the overall performance of the organization. (Use only the space provided below to answer both questions, Font: Arial-10.)

Outreach and Recruitment:

(b) (6)

Support of Diversity Programs:

(b) (6)

Development and Retention:

(b) (6)

Quality of Work Life:

(b) (6)



United States Environmental Protection Agency
Washington, DC 20460

Performance Plan and Appraisal for Senior Executives

Instructions

Use Sections: A (Performance Plan Approval and Midyear Review), B (Overall Performance Appraisal and Approval), C (Performance Elements/Requirements), D (Performance Assessment (and other applicable) Narrative(s)), and E (Senior Executive Individual Development Plan) of this form for all employees who are covered by the Senior Executive Service Performance Appraisal and Recognition System (SES-PARS).

Section C contains six standard Critical Elements (CEs), each with *Effective* performance level requirements, which must be used for all members of the SES: career, limited term, limited emergency, and non-career appointees, and those Presidential Appointees who elect to retain SES provisions. These six CEs and their associated Part 1 requirements are fixed and may not be changed. In Part 2 of the CEs, the senior executive describes individual commitments (a limited number of critical actions, objectives and outcomes/results) that he or she will be expected to accomplish during the upcoming evaluation year.

Performance Plans

- Must be established with full consultation by October 30, or within 30 calendar days of appointment or position change.
- Must include the six fixed CEs and performance requirements in Section C-1 and link each CE to EPA's Strategic Plan (or Regional Plan).
- Must include a limited number of individual commitments and outcomes/results expected in Part II for all CEs in Section C-2. Individual commitments must include measures and dates, even if "ongoing" or due at the end of the Fiscal Year.

Executive Development Plans

- Must be established within 30 calendar days of appointment or other position change.
- Are established usually at Midyear Progress Review and cover one full year (e.g., May 1 through April 30).

Performance Appraisal

- Each Senior Executive must provide a written description of his/her own overall performance, with the vast majority of the narrative focusing on the outcomes/results achieved, in Sections D-1, Performance Assessment Narrative, D-2, Business Acumen Narrative, and D-3, Equal Employment Opportunity and Diversity Narrative.
- In determining the rating for each CE, the supervisor will assess the specific outcomes/results achieved in Parts I and II, and at least 60 percent of the rating must be based on outcomes/results achieved in Part II.
- Supervisors must provide written comments ("Supervisor's Notes") in Section C-3 for each CE with a rating of *Unsatisfactory*, *Needs Improvement*, or *Outstanding*.

Definition of Summary Rating Levels

- **Unsatisfactory:** The senior executive consistently fails to meet the established performance requirements in one or more Critical Elements of the executive's position.
- **Needs Improvement:** The senior executive exhibits significant performance-related problem(s) (e.g., limited ability in producing work of acceptable volume and/or quality within established time frames; limited sense of personal responsibility or accountability in work assignments) although performance has not reached Unsatisfactory in any CE.
- **Effective:** Results achieved reflect normally high performance that can be reasonably expected of any senior executive.
- **Commendable:** Results achieved clearly exceed what could be reasonably expected and the senior executive exemplifies or models those practices and approaches that represent the SES ideal.
- **Outstanding:** Reserved for the senior executive who demonstrates the highest degree of achievement in a manner that both distinguishes him/her from the rest of the SES corps and materially advances the EPA mission.

Do Not Remove This Cover Sheet Until the Entire Form is Placed in the Employee Performance File in the Servicing Personnel Office.

Privacy Act Statement

The maintenance of this information is governed by Privacy Act system of records OPM/GOVT-2. The authority for the maintenance of this system is 5 U.S.C. 1104, 3321, 4305, and 5405, and Executive Order 12107. This information is required. Not providing this information may hinder the Agency's ability to process personnel actions concerning you. This information is used to define the critical elements and performance requirements (performance standards and performance measures) directly related to your job. It will be used to document your mid-year review, any other reviews, and your end of year rating. The information also may be used in connection with selection for and publication of cash and honor awards; other personnel actions based on performance such as training and development decisions; the hiring or retention of an individual or the issuance of other benefits; relevant judicial or administrative proceedings; law enforcement purposes; personnel research or survey purposes; and negotiated grievance procedures. Disclosure also may be made to the MSPB, the EEOC, and other Federal agencies for purposes authorized by law; to a Congressional office at your request; and to officials of labor organizations when relevant and necessary to their duties as exclusive representatives of Federal employees. This is a summary of the routine uses for these records. For a full description of this system notice, including routine uses, see 65 FR 24737 (Apr. 27, 2000).

Security Provisions

Personnel information entered on this form such as performance narratives, ratings on individual critical elements, and the overall performance appraisal, is protected by the Privacy Act. Protected records maintained in office files, on floppy disks, or in any other manner must be secured in accordance with the safeguards specified for performance records.



U.S. Environmental Protection Agency
Washington, DC 20460

Performance Plan and Appraisal for Senior Executives

Employee Name (Last, First, MI) Armendariz, Alfredo J.	Performance Period From: Oct. 1, 2011 To: Sept. 30, 2012	
Title, Pay Plan, Band, Series Regional Administrator, ES-0340	Organization (AA/RA, Ofc, Div, Br) EPA Region 6, Dallas, Texas	

Section A. Performance Plan Approval and Midyear Review

Please sign and date the appropriate block below to certify completion of the events. The signatures below certify that the supervisor has developed the performance agreement in consultation with the executive, discussed the agreement with the executive, and provided examples of behavior that would/would not meet the performance standards. The discussion occurs at the beginning of the performance rating period. The executive is given a copy of the agreement, and the original is placed in the executive's file.

	Employee	Supervisor	Approving Official
Consultation/discussion and approval of the Performance Plan	Signature	Signature	Signature
	Date	Date	Date
Midyear Progress Review and Career Development Discussion	Yes / No <input type="checkbox"/> Was previous EDP completed? (Participated in 40 hours of development activities) <input type="checkbox"/> Has new EDP been established? Enter Date Established: <input type="checkbox"/> Comments Attached?		
Signature - Employee	Date	Signature - Supervisor	Date

Section B. Overall Performance Appraisal and Approval

Summary Performance Rating:

- ☐ **Unsatisfactory** - One or more CEs are rated *Unsatisfactory*
- ☐ **Needs Improvement** - One or more CEs are rated *Needs Improvement*, none are *Unsatisfactory*
- ☐ **Effective** - Majority of CEs are rated *Effective*, Results Driven no lower than *Effective*, none lower than *Effective*
- ☐ **Commendable** - One-half or more CEs are rated *Commendable*, Results Driven no lower than *Commendable*, none lower than *Effective*
- ☐ **Outstanding** - One-half or more CEs (including Results Driven) are rated *Outstanding*, none lower than *Commendable*

Type of Summary Rating:

- ☐ End of Annual Cycle ☐ Employee Reassigned ☐ Employee Leaving Agency ☐ Other - Specify:

I. Supervisor: I have appraised this employee's performance and prepared a recommended rating.

Name and title (type or print):	Signature	Date
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II. Reviewing Official: The recommended rating reflects my assessment of the employee's performance.

Name and title (type or print):	Signature	Date
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III. Approving Official*: I approve the rating of record and related personnel decisions for this employee.

*The Administrator, or Inspector General for executives in the Office of Inspector General

Name (type or print):	Signature	Date
-----------------------	-----------	------

IV. Employee: My supervisor and I have discussed my performance for this period in relation to my performance requirements (measures and standards) and my supervisor has informed me of my rating of record.

Signature	Date	Higher Level Review Requested? <input type="checkbox"/> Yes <input type="checkbox"/> No	Comments Attached? <input type="checkbox"/> Yes <input type="checkbox"/> No
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Performance Elements/Requirements

Employee Name (Last, First, MI)		Performance Period	
Armendariz, Alfredo J.		From:	To:
		10/1/2011	9/30/2012

Link to the Strategic Plan: Link each Critical Element (CE) to EPA's current Strategic Plan (or Regional Plan) <http://www.epa.gov/ocfo/plan/plan.htm>. The Plan contains five strategic, results-based environmental goals to guide the Agency's work and five cross-cutting fundamental strategies which set clear expectations for changing the way EPA does business in achieving its results. If a CE links to a goal, then use its relevant objective(s) or sub-objective(s) to better define the linkage (e.g., *Goal 2, Protecting America's Waters, Objective 2.1, Protect Human Health*). CEs of senior executives who perform cross-EPA and/or cross-media work (including legal support or administrative, financial or information management), may more appropriately link to a strategy rather than to a goal (e.g., *Strategy 2, Working for Environmental Justice and Children's Health*) or one of the associated annual action plans. If neither goals nor strategies capture management and support duties, then insert the following statement: *This work is an enabling and support function that supports the outcomes of all of the Agency's strategic goals and cross-cutting fundamental strategies.*

Element Rating: The supervisor indicates the level of performance for each CE by marking *Unsatisfactory* (U, the lowest performance level), *Needs Improvement* (NI), *Effective* (E, the level at which performance requirements are described), *Commendable* (C), or *Outstanding* (O, highest level of performance). In determining the rating for each CE, the supervisor will assess the specific outcomes/results achieved in Parts I and II, and at least 60 percent of the rating must be based on outcomes/results achieved in Part II.

CE 1. Results Driven: Achieves organizational and individual goals and objectives consistent with the EPA Strategic Plan and/or office operating plan.	Element Rating:
Strategic Plan: This critical element is linked to all 5 of the goals and all 5 of the cross-cutting fundamental strategies in the EPA FY 2011-2015 Strategic Plan.	

Part 1 Requirements (described at the *Effective* performance level) **Part 2** (required -- see Section C-2)

Sets long-term and short-term program objectives that: stress achievement of mission results, are realistic and measurable, and respond to the Agency Strategic and Annual Performance Plans and/or other key Government-wide or EPA objectives. Effectively structures, organizes and prioritizes work to accomplish the objectives set forth in the Annual Performance Plan and/or appropriate business/work plans, including management initiatives. Monitors progress toward achieving goals and organizational objectives using effective measures, processes and procedures. Considers customer perspectives and feedback, as appropriate, in adjusting priorities. Takes action to modify operating plans when organizational results and measures indicate corrective action is needed. Informs higher-level management of significant program initiatives, developments, and status. Holds self and others accountable for measurable, high-quality, timely and cost-effective results. Positions the organization for future success by identifying new opportunities; builds the organization by developing or improving products or services. Takes calculated risks to accomplish organizational objectives. Understands and appropriately applies principles, procedures, requirements, regulations, and policies related to specialized expertise.

CE 2. Business Acumen: Acquires, organizes, manages and leverages available human, financial, material and information resources to efficiently produce high-quality results which accomplish strategic goals and organizational objectives.	Element Rating:
Strategic Plan: This critical element is linked to all 5 of the goals and all 5 of the cross-cutting fundamental strategies in the EPA FY 2011-2015 Strategic Plan.	

Part 1 Requirements (described at the *Effective* performance level) **Part 2** (required -- see Section C-2)

Assesses current and future resource needs, including developing and implementing strategies for workforce and succession planning, based on organizational goals and budget realities. As applicable, prepares and implements budget requests which are timely, well-defined, and include appropriate justifications that consider fiscal constraints, program priorities, and human capital (HC) objectives (skill/competency needs, retention, employee development). Employs a recruitment strategy that attracts candidates with the required skills, talent, diversity, and commitment to EPA's mission. Properly executes the operating plan and effectively manages funds. Produces timely and accurate financial information to support operating, budget and policy decisions. Successfully achieves cost management and other resource management objectives as reflected by reports from the organization's financial and other management systems. Accurately assesses the nature of work being performed by the organization. Effectively uses procurement and contractual processes to provide the products and services needed to meet organizational goals and objectives. As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories. Effectively manages assistance agreements to promote accountability and environmental results, including ensuring compliance with EPA grants management policies and supporting initiatives to meet the goals and objectives of EPA's long-term Grants Management Plan. Effectively manages Interagency Agreements in accordance with established policies and procedures. Identifies and builds business case for opportunities to utilize or better utilize e-Government technology to produce and deliver goods and services, collect and use information, or communicate, consult, collaborate, or partner with stakeholders, in order to improve organizational/program effectiveness and efficiency. Ensures access to and the security of technology systems. Establishes and maintains effective and efficient management controls in administrative and program areas, and as appropriate, conducts reviews to identify material and other weaknesses. Corrects weaknesses in a timely manner. On a regular basis, reviews and analyzes performance measures, consults and collaborates across EPA and with stakeholders and customers, as appropriate, and takes decisive action, in accordance with law, regulation and Agency policy to improve business processes. Takes action to address employee performance problems. As applicable, promotes integrity in the Labor Relations process and works towards fostering an atmosphere of respect and professionalism. Depending on the Agency's assessment of appropriateness and the parties' willingness, uses collaborative or compliance approaches to help address conflicts and solve problems. Assesses and recognizes own strengths and weaknesses; pursues self-development.

Performance Elements/Requirements

Employee Name (Last, First, MI)		Performance Period	
Armendariz, Alfredo J.		From:	10/1/2011 To: 9/30/2012
CE 3. Leading Change: Effectively initiates & manages organizational change.		Element Rating:	
Strategic Plan:	This critical element is linked to all 5 of the goals and all 5 of the cross-cutting fundamental strategies in the EPA FY 2011-2015 Strategic Plan.		
<div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <p>Part 1 Requirements (described at the <i>Effective</i> performance level)</p> <p>Implements organization vision that aligns key national and program goals and priorities with Agency and Office Strategic Plans and EPA and Government-wide initiatives, accounts for stakeholders' needs; Identifies current and projected skill gaps, and structural and organizational inefficiencies; develops and articulates short- and long-term strategies for addressing skill gaps and inefficiencies; establishes time frames and bench-marks for improved organizational performance and measures organization's performance against those bench-marks; and makes the organization as citizen/customer focused as possible. Designs and deploys effective strategies that balance stakeholder interests with the business of the organization and that balance change and continuity. Strategies are creative, flexible, and innovative and show initiative. Acts as a catalyst for organizational change. Influences others to translate vision into action. Identifies and analyzes underlying dynamics and interests creating problems and conflicts; includes affected internal and external parties in problem-solving and conflict resolution; develops creative insights and innovations, and considers them along with conventional approaches, generates and evaluates with parties alternative solutions that achieve mutually acceptable goals; builds consensus through focus on underlying interests and mutual gain of parties, demonstrates how collaborative problem solving was considered and used to support environmental and organizational decision-making; Understands and keeps up-to-date on local, national, and international policies and trends that affect the organization and shape stakeholders' views; is aware of the organization's impact on the external environment. Successfully adapts plans, processes and programs in response to new information and changing conditions or initiatives, including new Government-wide or EPA initiatives or objectives. Using good judgment, constructively utilizes indicators such as customer feedback and organizational results measures, as appropriate, to effectuate improvements in program performance. Employee feedback indicates a clear understanding of the organizational vision. Deals effectively with pressure; remains optimistic and persistent, even under adversity. Recovers quickly from setbacks. Shows a commitment to serve the public. Ensures that actions meet public needs; aligns organizational objectives and practices with public interests.</p> </div> <div style="width: 48%;"> <p>Part 2 (<i>required</i> - - see Section C-2)</p> </div> </div>			
CE 4. Building Coalitions and Communication: Builds alliances and effectively communicates to advance EPA's and organization's mission and objectives.		Element Rating:	
Strategic Plan:	This critical element is linked to all 5 of the goals and all 5 of the cross-cutting fundamental strategies in the EPA FY 2011-2015 Strategic Plan.		
<div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <p>Part 1 Requirements (described at the <i>Effective</i> performance level)</p> <p>Articulates program goals and objectives; promotes and supports EPA initiatives and objectives internally and externally in a clear and convincing manner, particularly when representing or speaking for the organization or EPA. Effectively identifies and manages internal and external influences and dynamics that impact the organization's work. As appropriate, cultivates alliances, strengthens support internally and externally, and facilitates open exchange of opinion from diverse groups (e.g., Federal agencies; Congress; customers and stakeholders; the public; the media; state, local, and tribal governments; non-governmental organizations; minority groups; overburdened, underserved, or underrepresented communities; and the international community). Routinely considers and effectively employs collaborative approaches wherever appropriate, to build strategic relationships and achieve common goals. Effectively communicates with and listens to customers and stakeholders, gathering feedback as appropriate. Shows evidence of giving feedback due consideration, especially in the area of organizational performance. Seeks to build trust in all interactions. Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals. Makes clear and convincing oral presentations. Listens effectively; clarifies information as needed. Writes in a clear, concise, organized, and convincing manner for the intended audience.</p> </div> <div style="width: 48%;"> <p>Part 2 (<i>required</i> - - see Section C-2)</p> </div> </div>			
CE 5. Leading People: Effectively leads & manages employees to enhance their performance, development & satisfaction in accomplishing EPA/organization's goals & objectives.		Element Rating:	
Strategic Plan:	This critical element is linked to all 5 of the goals and all 5 of the cross-cutting fundamental strategies in the EPA FY 2011-2015 Strategic Plan.		
<div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <p>Part 1 Requirements (described at the <i>Effective</i> performance level)</p> <p>communicates EPA's mission, core values and strategic goals to employees and engages them in development of objectives contributing to those goals. Implements recruitment, retention, and developmental strategies that support organizational performance objectives, agency hiring goals, and successful transition of highly qualified employees into and within Federal service. Takes into account employee perspectives and encourages them to develop creative and effective ways to successfully accomplish the Agency's mission. Applies and effectively fosters formal and informal performance management practices to align organizational and employee performance plans and to promote workforce quality and results achievement. Promotes an organizational culture dedicated to leadership development and growth of first line supervisors. Motivates employees to achieve high performance by facilitating a workplace that fosters diversity, innovation, initiative, and open and honest communication. Inspires and fosters team commitment, spirit, pride and trust. Facilitates cooperation and motivates team members to accomplish group goals. Encourages constructive criticism and differences of opinion; anticipates and takes steps to prevent counter-productive escalation of conflicts. Ensures that employees have the tools and training to do their jobs. Coaches and develops employees so that they realize their full potential. Provides constructive feedback to employees concerning individual and group performance including timely appraisals which result in meaningful distinctions in ratings based on actual job performance. Deals effectively with employee relations matters, including resolving instances where employees are underutilized and/or underperforming. Employee feedback reflects an understanding of supervisory and management direction, constructive feedback, developmental opportunities, and recognition received. Behaves in an honest, fair and ethical manner. Shows consistency in words and actions. Models high standards of excellence. Treats others with courtesy, sensitivity and respect. Considers and responds appropriately to the needs and feelings of different people in different situations. Fosters an inclusive workplace where diversity and individual differences are valued and leveraged to achieve the vision and the mission of the office.</p> </div> <div style="width: 48%;"> <p>Part 2 (<i>required</i> - - see Section C-2) Effectively</p> </div> </div>			

Performance Elements/Requirements

Employee Name (Last, First, MI)

Armendariz, Alfredo J.

Performance Period

From:

10/1/2011

To:

9/30/2012

CE 6. Equal Employment Opportunity (EEO), Civil Rights and Diversity:**Demonstrates commitment to and support of EPA EEO/Civil Rights/Diversity policies, programs, and initiatives; takes proactive steps to promote EEO and enhance workplace diversity.****Element Rating:**

Strategic Plan:

This critical element is linked to all 5 of the goals and all 5 of the cross-cutting fundamental strategies in the EPA FY 2011-2015 Strategic Plan.

Part 1 Requirements (described at the *Effective* performance level)**Part 2** (*required* - - see Section C-2)

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations. Engages in proactive efforts to promote diversity and inclusion within the workplace.

Section C-2 (Please Type Information)

Performance Elements/Requirements

Employee Name (Last, First, MI)

Armendariz, Alfredo J.

Performance Period

From: 10/1/2011 To: 9/30/2012

Describe below a **limited** number of critical actions, objectives and/or results that you expect to accomplish during the upcoming evaluation year. For each individual commitment identify: (1) CE #, (2) linkage (e.g., should be derived from, and directly contribute to, Agency strategic planning priorities, as appropriate, and/or other relevant annual performance goals or strategies, local human capital (HC) action, EEO, EPA competitive sourcing plans, SDVB, Post Award Management, business and/or operating plans), (3) specific expected outcomes and accomplishments, and (4) performance requirements or metrics (e.g., quality, quantity, timeliness, cost effectiveness, and target date/milestone). You should establish commitments at the beginning of the evaluation period and track progress and accomplishments throughout the period. In consultation with your supervisor, you may modify organizational objectives and individual commitments during the evaluation period (but no later than 90 days before the period's end) if circumstances warrant. Attach additional pages as needed. **Individual commitments are required for all CEs and there should be at least two (2) individual commitments for CE 1, Results Driven.**

Part 2 Individual Commitments (described at the *Effective* performance level)

CE#	Linkage (e.g., Goal/Objective, Annual Plan, HC Plan, SDVB Plan,)	Objective (WHAT -- e.g., specific accomplishment, product, outcome, deliverable)	Performance Requirement (HOW, WHEN, WHY, WITH WHOM -- e.g., quality, quantity, timeliness, cost effectiveness, and target date/milestone)
1. Results Driven	linked to all 5 goals and all 5 cross-cutting fundamental strategies	<ol style="list-style-type: none"> CAA Regional Haze: Finalize action on regional haze FIPs for Oklahoma in Dec. 2011, propose FIP for Arkansas in early 2012, and propose partial FIP for significant fraction of Texas sources by Aug. 1, 2012. Work with 6XA on media outreach and intergovernmental communication efforts. CWA NPDES and TMDL: Facilitate with HQ and other stakeholders the on-going work by R6 water division to implement NPDES WET limits in TX and OK, and to develop the TMDL for the Illinois River watershed in AR and OK (all year). Texas CAA Flex Permits: Ensure that applications for SIP-approved permits submitted by 90% of flexible permit holders, and for 1/3 of 30 largest applications have reviews completed by R6 air team and comments submitted by Sept. 1, 2012. EPCRA and CAA 112(r): Kick-off the regional upset emissions initiative for the largest 20 emitters by Jan 2012, and get 50% reduction commitments by majority by June 1, 2012. CAA PSD and Climate: Take action to resolve air permit irregularities for coal EGUs in Texas by Jan 2012. CERCLA: Identify and establish a long-term funding solution for remaining BIA liability at Tar Creek NPL site (Sept. 2012) CAA Title V: Implement first step of actions to resolve largest 3 deficiencies with TCEQ Title V issued permits (minor IBR, state/fed labeling, major IBR) by February 2012. 	
2. Business Acumen	linked to all 5 goals and all 5 cross-cutting fundamental strategies	<ol style="list-style-type: none"> Evaluate and implement potential to save significant funds through space consolidation of regional office by Sept. 30, 2012. Get updates from divisions on efforts to continue to reduce ULO balances in SRF and other major funds across the board in all states (entire year). Get updates from divisions on efforts to continue to reduce ULO balance reduction in Border program (entire year). Continue discussions with HQ OA and OCFO on regional resources allocations, and send supplemental information forward on Superfund program and NPM disparities in WSA allocations to regions (by Jan 30, 2012) Work with ARA and regional leadership to recruit and hire an outstanding new regional comptroller (by spring 2012). Lead quarterly meetings w/ ARA and divisional leadership to review FTE utilization (all year) 	
3. Leading Change	linked to all 5 goals and all 5 cross-cutting fundamental strategies	<ol style="list-style-type: none"> Successfully recruit and hire new DRA and open SES position (by late 2011/early 2012). Initiate new efforts to address wetlands loss mitigation and restoration in coastal Louisiana, including meetings with state and federal agency stakeholders. Evaluate progress to date. Determine need for new or innovative programs to accelerate progress. (Oct. - Sept.) Craft a new R6 multi-year strategic plan (by Sept 30, 2012). Get all regional leadership and staff to highlight scientific connections of climate change in all aspects of regional work (esp. air quality, water supply, wetlands loss, sea level/emergency response, green jobs) in speeches and public presentations. (all year) Meet with Farm Bureaus and ag commissioners of all five states (by March 2012). Meet monthly with new e-records development and implementation team, and troubleshoot as necessary to get VOIP telephonic system implemented in 2012. (all year). 	

4. Building Coalitions and Communications	linked to all 5 goals and all 5 cross-cutting fundamental strategies	<ol style="list-style-type: none"> 1. Visit with editorial boards of major newspapers in Houston, Austin, New Orleans, Tulsa, and Albuquerque (by Sept 2012). 2. Participate and lead two RTOC meetings with Tribal leaders in FY2012, and consult with Navajo about New Mexico air quality actions (consultation: Oct/Nov 2011; RTOC: Fall 2011, Summer 2012). 3. Meet with leadership of Chesapeake, Devon, and XTO to build bridges to natural gas producers and discuss their place in transition to a lower carbon economy (April 2012). 4. Continue use of social media to communicate R6 actions and core values of science, rule of law, and transparency to new generation of environmentalists. (Oct. - Sept.)
5. Leading People	linked to all 5 goals and all 5 cross-cutting fundamental strategies	<ol style="list-style-type: none"> 1. Hold myself and regional management to highest level of integrity and ethical conduct. (Oct. - Sept.) 2. Speak at the next classes of the leadership development program (LDP) (Nov 2011). 3. Continue build relationships with employee union leadership by meeting with them as needed, including on timekeeping pilot program (first meeting December 2011). 4. Strengthen involvement in security and workplace safety efforts, to include new bi-annual briefings for me and leadership team on workplace safety incidents, and evaluations of new smart-card entry systems. (Dec 2011).
6. Equal Employment Opportunity, Civil Rights, and Diversity	linked to all 5 goals and all 5 cross-cutting fundamental strategies	<ol style="list-style-type: none"> 1. Ensure that military veterans are recruited and considered for open positions in R6. Match or increase number of veterans hired in coming year compared to a successful FY11 (all year) 2. Implement new RA involvement in regional recruitment, hiring, and promotion efforts (Nov 2011) 3. Work with the leadership team to assess and regularly communicate demographic data on promotions, hiring, awards (Oct. - Sept.) 4. Meet with each of the SEPMs during the year to hear issues of concern and resolve problems (all year).
<p>List known factors over which you have little, if any, control, but which might exert significant impact on your performance or ability to achieve an objective. In assessing performance, the supervisor will consider factors, which might legitimately and significantly influence your ability to perform, whether or not they are documented below.</p>		
Assumptions		

Section C-3 (Please Type Information)

Performance Elements/Requirements

Employee Name (Last, First, MI)

Armendariz, Alfredo J.

Performance Period

From:

10/1/2011

To:

9/30/2012

The supervisor must provide written highlights for each critical element rated *Unsatisfactory*, *Needs Improvement* or *Outstanding*.

Supervisor's Notes

1. Results Driven

2. Business Acumen

3. Leading Change

4. Building Coalitions and Communication

5. Leading People

6. Equal Employment Opportunity (EEO)

Supervisor Signature:

Performance Assessment Narrative

This performance narrative may serve, if applicable, as documentation for a monetary award nomination and/or base pay adjustment recommendation. To use as such, AA/RA (equivalent) office completes the four numbered boxes below.

1. Summary Rating:		2. Pay Adj (%):		3. Bonus (%):	
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Employee Name (Last, First, MI) Armendariz, Alfredo J.	Performance Period From: 10/1/2011 To: 9/30/2012
Title, Pay Plan, Band, Series	Organization (AA/RA, Ofc, Div, Br)

Describe your overall performance: Clearly and succinctly describe your accomplishments for the rating period in all areas except those related to EEO and Business Acumen efforts which each require separate documentation. Discuss each specific area of performance or accomplishment only once, even if it relates to more than one CE. Focus on results achieved in terms of the key performance objectives and leadership attributes. For consideration of a rating above *Effective*, Self-assessments should reflect how the employee went well above and beyond the performance objectives set for the rating period. Self assessments must provide thorough discussion of accomplishments and describe how the employee's accomplishments contributed towards the overall performance of the organization. (Use only the space provided below to answer both questions, Font: Arial-10.)

Section D-2

Business Acumen Narrative

This narrative may serve, if applicable, as documentation for a monetary award nomination and/or base pay adjustment recommendation. To use as such, AA/RA (equivalent) office completes the four numbered boxes below.

1. Summary Rating:	2. Pay Adj (%):	3. Bonus (%):	
Employee Name (Last, First, MI) Armendariz, Alfredo J.			Performance Period From: Oct. 1, 2011 To: Sept. 20, 2012
Title, Pay Plan, Band, Series			Organization (AA/RA, Ofc, Div, Br)
Describe your <i>accomplishments</i> for CE 2, Business Acumen: Clearly and succinctly describe your accomplishments for the rating period in management priority areas, e.g., human capital, competitive sourcing, contracts/procurement, assistance agreements/IAGs, financial management, e-Government, as applicable. Focus on results achieved in terms of key performance objectives and leadership attributes. For consideration of a rating above <i>Effective</i> , Self-assessments should reflect how the employee went well above and beyond the performance objectives set for the rating period. Self assessments must provide thorough discussion of accomplishments and describe how the employee's accomplishments contributed towards the overall performance of the organization. (Use only the space provided below to answer both questions, Font: Arial-10.)			

Section D-3

Equal Employment Opportunity and Diversity Narrative

This EEO narrative may serve, if applicable, as documentation for a monetary award nomination and/or base pay adjustment recommendation. To use as such, AA/RA (equivalent) office completes the four numbered boxes below.

1. Summary Rating:		2. Pay Adj (%):		3. Bonus (%):	
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Employee Name (Last, First, MI) Armendariz, Alfredo J.	Performance Period From: Oct. 1, 2011 To: Sept. 20, 2012	
Title, Pay Plan, Band, Series	Organization (AA/RA, Ofc, Div, Br)	

Describe your accomplishments for CE 6, Equal Employment Opportunity (EEO), for the rating period by answering these two questions:
1. How have you personally facilitated, empowered, and/or directed efforts that have contributed to the implementation of your organization's EEO/affirmative employment and diversity programs? 2. What successes convince you that you have made a difference in these areas? Areas you should address include: outreach and recruitment; employee development and retention (e.g., training, coaching, mentoring); quality of work life initiatives (e.g., telecommuting, AWS, childcare); active participation in SEP initiatives; good faith participation in the ADR process; and full attention to early resolution of complaints of discrimination, as applicable. For consideration of a rating above *Effective*, Self-assessments should reflect how the employee went well above and beyond the performance objectives set for the rating period. Self assessments must provide thorough discussion of accomplishments and describe how the employee's accomplishments contributed towards the overall performance of the organization. (Use only the space provided below to answer both questions, Font: Arial-10.)

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Section E

Executive Development Plan

Employee Name (Last, First, MI) Armendariz, AI		Performance Period	
		From: 10/1/11	To: 9/30/12
Long Term Goal:	Improve decision making and personal accountability	Long Term Goal:	Improve decision making and personal accountability
Career Goals & Development Objectives		Specific Development Activities	
Goals/Objectives		Activity	Time Frame
(b) (6)		(b) (6)	FY12
		(b) (6)	FY12
Discussion and/or approval of the Executive Development Plan.	Employee	Supervisor	Approving Official
	Signature	Signature	Signature
	Date	Date	Date
		11/22/11	11/22/11